

# **10 FAM 440 FOREIGN LECTURERS AND RESEARCH SCHOLARS**

*(TL:PEC-01; 10-01-1999)*

## **10 FAM 441 INTRODUCTION**

### **10 FAM 441.1 Purpose**

*(TL:PEC-01; 10-01-1999)*

a. The purpose of the foreign lecturer and research scholar grants is to further mutual understanding by enabling selected foreign lecturers and research scholars to teach or conduct postdoctoral research in the United States.

b. This section is designed as a working guide for operation of the foreign lecturer and research scholar exchanges, abroad and in the United States, and should be used in conjunction with Section 700 of the J. William Fulbright Foreign Scholarship Board (BFS) Policy Statements. The procedures are applicable to foreign lecturer and research scholar exchanges in both Commission and non-Commission countries.

c. In the United States, the procedures are for the use of the Bureau of Education and Cultural Affairs of the U.S. Department of State, the Cooperating Agency (CA), and other agencies that may be requested to arrange programs for foreign lecturers and research scholars, as appropriate.

### **10 FAM 441.2 Legal Authorization**

The activities described in this section of the manual are authorized by the Mutual Educational and Cultural Exchange Act of 1961, as amended: (Pub. L. 87-256, the Fulbright-Hays Act, September 21, 1961.)

## **10 FAM 442 DEFINITION OF TERMS**

*(TL:PEC-01; 10-01-1999)*

### **a. Visiting Scholar (Lecturers and Research Scholars)**

(1) The term "**Lecturer**" designates a national of a foreign country who comes to the U.S. to teach or lecture at an approved U.S. institution, usually at the postdoctoral level.

(a) **Senior scholars** are established postdoctoral academics with substantial professional accomplishments, status in their home institutions, and qualifications for instruction at the graduate level.

(b) **Junior scholars** are qualified for instruction at the undergraduate level. They may meet academic qualifications but lack the professional experience normally expected of lecturers for graduate courses.

(2) A "**Research Scholar**" is a national of a foreign country who comes to the U.S. to engage in full-time advanced research at an approved U.S. institution, usually at the postdoctoral level.

b. **Commission.** Either a binational Commission or Foundation established by an Executive Agreement between the U.S. and a foreign government under the Mutual Educational and Cultural Exchange Act of 1961, the Fulbright-Hays Act.

c. **Post.**— The Public Diplomacy section at a U.S. mission abroad. If no Public Diplomacy section exists, "Post" may refer to the U.S. Embassy in general.

**Note:** In this manual, situations that require different handling for Commission and non-Commission grants are presented in parallel; the expression "Commission/post" is used to indicate responsibility of both the Commission and the Post in some instances and Commission or Post in others.

d. **J. William Fulbright Foreign Scholarship Board (BFS).** A twelve member Presidentially-appointed body of distinguished men and women, drawn principally from the U.S. academic and professional communities with statutory responsibility under the Mutual Educational and Cultural Exchange Act of 1961, the Fulbright-Hays Act, for the selection of all academic exchange grantees and the supervision of the Fulbright Program, including the establishing of policy guidelines that govern all such exchanges. The authority of the Board applies to all Fulbright programs in both Commission and non-Commission countries.

e. **Bureau of Education and Cultural Affairs.** The section of the U.S. Department of State charged with the responsibility for administering the exchange program authorized by the Mutual Educational and Cultural Exchange Act of 1961, the Fulbright-Hays Act. The Bureau of Education and Cultural Affairs (ECA) includes, among others, an Office of Academic Exchange Programs (ECA/A/E), which is directly responsible for the Fulbright Program exchanges. Its identification (ECA/A/E) is used throughout this document as indicating the ECA/A/E office or any of its geographic branches.

f. **Cooperating Agency (CA).** A private organization that facilitates international exchanges in higher education. Under a cooperative agree-

ment with the Department, the Cooperating Agency participates in the administration of the Fulbright Scholar Program under the policy guidelines of the J. William Fulbright Foreign Scholarship Board and the administrative procedures of the Bureau of Educational and Cultural Affairs. The initials CA are used throughout this document.

## **10 FAM 443 TYPES OF GRANTS AND SOURCES OF SUPPORT**

### **10 FAM 443.1 General Statement**

*(TL:PEC-01; 10-01-1999)*

a. All Fulbright grants are generically the same; they differ only in the amount and type of support provided to the scholar to permit his or her participation in a program of international academic exchange. The amount of financial support may range from zero (honorary) to many thousands of dollars or equivalent.

b. Other support may take the form of housing, books and materials, travel, insurance and a variety of other items deemed necessary, or desirable, to meet the needs of the grantee.

### **10 FAM 443.2 Fully-Funded Grants**

*(TL:PEC-01; 10-01-1999)*

These grants are funded by U.S. Government appropriations for the Fulbright-Hays Mutual Educational and Cultural Exchange Program, and, in many Commission countries, in conjunction with funds contributed to the program by the foreign government. Normally, fully-funded grants provide travel, maintenance, and other financial support deemed adequate to meet the needs of a visiting scholar for the duration of his or her academic exchange program in the United States.

### **10 FAM 443.3 Partially-Funded Grants**

*(TL:PEC-01; 10-01-1999)*

The term "Partially-Funded Grant" is applied when Fulbright-Hays funds are used to complement funding from one or more outside institutions or organizations, or from the applicant's own resources. Typically, such grants will cover the international travel expenses of a grantee. To obtain a grant of this type requires the same academic and professional qualifications, the same selection and award procedures, and participation in a project of the same merit as required of an applicant seeking a fully-funded award.

## **10 FAM 443.4 Honorary Grants**

*(TL:PEC-01; 10-01-1999)*

a. Scholars may be recommended by a Commission for honorary grants under certain conditions. Normally the scholar considered for the honor is a prestigious academic whose identification with the Fulbright Program will, in itself, be a contribution. Honorary grants provide no stipend, but scholars receiving this recognition may be provided with health and accident insurance coverage for the duration of their appointment, and possibly other assistance for participation in professional conferences, and/or cultural enhancement programs.

b. It is generally desirable for the Honorary Grantee to have available the support and services of the cooperating agency.

## **10 FAM 443.5 Distinguished Senior Scholars**

*(TL:PEC-01; 10-01-1999)*

a. Grants, usually for short terms, may be offered to distinguished foreign scholars or to highly specialized foreign personnel for the purpose of adding to the prestige of the Fulbright Program and to increase its effectiveness. Commissions/posts may make the recommendation based on their knowledge of the accomplishments of the proposed recipient.

b. In the United States, the scholar may lecture, consult, conduct surveys, participate in workshops, or other academic and cultural programs sponsored by various institutions and cooperating agencies.

c. Nominations for these awards may also originate in the United States from cooperating agencies or educational institutions, and will be subject to concurrence by the Commission/post, and selection by the BFS prior to the issuance of grants.

## **10 FAM 444 ANNOUNCEMENT OF GRANT OPPORTUNITIES**

### **10 FAM 444.1 General Announcement**

*(TL:PEC-01; 10-01-1999)*

a. After ECA/A/E has reviewed and commented on the Program Plans/Proposals, it notifies the Commissions/posts of the allocations for foreign scholar grants for the designated academic year, and indicates the funding that is available.

b. To assist in publicizing the availability of these grants, the cooperating agency annually produces flyers and other materials for distribution abroad in certain Post countries (mainly in Africa, Central America/Caribbean, and Near East) in which the cooperating agency has been asked to handle the academic review and nomination of final candidates. Some bulletins issued by the cooperating agency list specific types of grants being offered in one area, or even one country. Generally these are distributed in the spring in anticipation of application deadlines in the fall. Applications must reach the cooperating agency in Washington in the fall for CA review committees in November for activation during the academic year beginning in August or September.

c. Based on the information on funding and number of awards allocated by ECA/A/E, the Commission/post announces the availability of grants, and makes use of whatever media are normally effective for publicizing these opportunities. In some countries notices on university bulletin boards, in local newspapers, and letters to the deans are appropriate approaches, but each Commission/post very likely has developed its own preferences for disseminating the information and should follow its proven procedures.

d. Publicity should be devised to attract highly-qualified academicians and move them to apply. Announcements should describe general grant provisions, eligibility criteria, and application procedures. It should note where further information and application forms may be obtained, whether at Post, the local U.S. Center, or the Commission offices, as appropriate.

e. Commissions/posts should time announcements to permit thorough and careful consideration of applications, the scheduling of interviews, and compliance with deadlines set by the cooperating agency.

f. Although Commissions/posts will have been advised of their allocations, it is advisable not to mention in the publicity any specific number of grants to be awarded. Commissions/posts should aim to maintain as much flexibility as possible in order to use available funds most effectively in support of the Program Plan/Proposal. The competition may reveal factors that may make it desirable to award more, or fewer, grants than were originally contemplated when the plans were drafted.

## **10 FAM 444.2 Special Announcements**

*(TL:PEC-01; 10-01-1999)*

a. Occasionally a special program is developed in the United States for which foreign scholars with specific qualifications are sought. This information may be incorporated into the general announcement or given special treatment by Commissions/posts through letters to university officials, gov-

ernment agencies, or to whatever group most likely to have the type of professional qualified to be a participant.

b. Announcements should include a description of the program, grant provisions, eligibility criteria, and application and selection procedures.

## **10 FAM 445 ELIGIBILITY AND APPLICATIONS**

### **10 FAM 445.1 Eligibility Factors**

#### **10 FAM 445.1-1 Competition**

*(TL:PEC-01; 10-01-1999)*

With some exceptions, such as invitational recruitment (practiced rarely), all applicants for grants will participate in an open competition.

#### **10 FAM 445.1-2 Invitational Recruitment**

*(TL:PEC-01; 10-01-1999)*

A limited program of invitational recruitment for lecturers and research scholars of participating countries, similar to that approved for U.S. lecturers and research scholars, has been established with the assistance of U.S. universities, the cooperating agency, and the Commissions.

#### **10 FAM 445.1-3 Military Status**

*(TL:PEC-01; 10-01-1999)*

When relevant, Commissions/posts must submit detailed information pertaining to the military status of applicants with connections to the military forces of their country.

#### **10 FAM 445.1-4 Candidates from Professional Fields**

*(TL:PEC-01; 10-01-1999)*

Competitions are open to a wide spectrum of non-academic professionals in the arts, journalism, labor, education, and other fields.

#### **10 FAM 445.1-5 Foreign Government Employees**

*(TL:PEC-01; 10-01-1999)*

Employees of the host country government may be eligible if they meet other established qualifications.

## **10 FAM 445.1-6 Applicants in Religion**

*(TL:PEC-01; 10-01-1999)*

a. Professional religious workers are not eligible insofar as their work is pastoral, ministerial or related to the administration of religious programs. Professors lecturing or doing research may be eligible if their activities are educational rather than ministerial or missionary.

## **10 FAM 445.2 Ineligibility Factors**

### **10 FAM 445.2-1 Local Employees**

*(TL:PEC-01; 10-01-1999)*

Local employees of the U.S. Department of State are not eligible for grants during their period of active employment, but may be eligible one year after termination, or in some cases during a period of leave-without-pay.

### **10 FAM 445.2-2 Members and Staffs of Commissions**

*(TL:PEC-01; 10-01-1999)*

Members and staffs of Commissions and members of their immediate families are ineligible for a period of one year following termination of their service with the Commission.

## **10 FAM 445.3 Financial Factors**

*(TL:PEC-01; 10-01-1999)*

a. Neither financial need, nor the lack of it, will be a factor in excluding otherwise qualified applicants.

b. Evidence of support for applicants with funding other than Fulbright-Hays:

(1) Applicants receiving support from sources other than Fulbright-Hays awards must provide proof of support during their proposed period of lecture/research in the United States.

(2) Commissions/posts are responsible for verifying the availability and amount of support provided by any sources other than Fulbright-Hays.

## **10 FAM 445.4 Eligibility Criteria**

*(TL:PEC-01; 10-01-1999)*

a. Candidates must be citizens, nationals, or permanent residents of the country where the application is filed.

b. Candidates must have doctorates or the equivalent in professional training and/or experience. For certain countries, exceptions may be allowed under special conditions, but ECA/A/E approval is necessary.

c. Candidates must submit an acceptable research or teaching proposal to be carried out in a U.S. university or research center approved by the BFS.

d. Candidates must not have held a Fulbright grant for lecturing or research in the United States within four years prior to the time of filing their applications for fellowships.

e. The proposed activity, either lecturing or research, must be pursued full-time.

f. The applicant must be in sound mental and physical health.

g. Applicants should be representative and responsible citizens who can contribute to a full and fair representation of the culture and civilization of their own country and thereby contribute to understanding and friendship between the people of the United States and those of other nations.

h. Applicants must be acceptable to the United States and to the institution with which they are affiliated. The terms and conditions of the awards they sign require their full compliance with U.S. laws and regulations regarding taxes and immigration and naturalization. They may not seek permanent residence and/or employment in the United States prior to or during the tenure of their awards.

i. Applicants must be reasonably certain that they will be free to accept an award and are solely responsible for obtaining the necessary leave of absence and making other required arrangements in order to accept a grant.

The awarding of a grant does not constitute endorsement on the part of the BFS, ECA/A/E, or the cooperating agencies, of a leave of absence for the grantee in the absence of assent by the grantee's educational institution or employer.



j. Applicants must demonstrate a proficiency in the English language commensurate with the project which they propose to pursue, and adequate to adjust to life in the United States.

## **10 FAM 446 SELECTION AND PLACEMENT**

### **10 FAM 446.1 Applications**

#### **10 FAM 446.1-1 General Requirements**

*(TL:PEC-01; 10-01-1999)*

The cooperating agency has developed a packet of application materials that it distributes in quantity to Commissions/posts. All Posts and most Commissions use these materials, but in some Commission countries, local preferences require the use of different forms specially prepared for the particular country.

#### **10 FAM 446.1-2 Parts of Application**

*(TL:PEC-01; 10-01-1999)*

a. All applicants complete a biographical/background form, including information on previous lecturing or research in the United States, and the naming of the preferred host institution while in the United States during the period of the Fulbright grant.

b. The candidate must submit a project statement of up to 3,500 words (five pages) describing the research or lecturing to be undertaken, its value, and the needs to carry out the work in the United States.

c. Submission of a detailed curriculum vitae and a list of publications is necessary.

d. On behalf of the applicant three letters of professional reference are required.

e. Each applicant must provide a certificate of sound physical and mental health. The examining physician or health officer must be accredited and authorized by the appropriate authorities in the applicant's government to issue such a certificate on the basis of extensive testing.

f. If the applicant is from a non-English-speaking country the Commission/post is responsible for assuring the candidate's competency in English at a level adequate, and preferably higher, to undertake successfully the project proposed, either lecturing or research, at a U.S. university.

g. If the scholar's ability to communicate in English can be attested to by the scores of a TOEFL, or some other recognized examination, a copy or statement of the test results should be included in the candidate's application dossier.

### **10 FAM 446.1-3 Late and Incomplete Applications**

*(TL:PEC-01; 10-01-1999)*

a. Because the application process is part of an open competition, Commissions/posts should require strict compliance with established deadlines. Ample time should be allocated between the announcement, and the deadline for submission, for the necessary documents to be obtained, filled out completely, and delivered to the Commission/post.

b. If the application is not completed within the time allocated, the Commission/post has the authority to accept or reject depending on the local situation. Applications arriving in Washington after the cooperating agency deadline run a greater risk of not being placed, or not placed at the institution of choice. Commissions/posts should make every effort to assure the arrival on time, or preferably earlier, in order to give the cooperating agency placement officers every advantage possible in favor of the applicants.

c. Incomplete or inadequate application materials can delay CA review of applications, BFS approval, or affiliation at a U.S. institution. In some cases lack of information is the cause of denial of affiliation. Applicants, Commissions/posts should carefully examine each application for completeness and careful preparation. Program officers undertake a technical review of the application and notify Commissions/posts of any deficiencies.

### **10 FAM 446.2 Selection Criteria**

#### **10 FAM 446.2-1 General Criteria**

*(TL:PEC-01; 10-01-1999)*

In addition to the criteria noted elsewhere in this document the following also apply:

(1) Applicants will be considered without respect to race, color, sex, or religion.

(2) Applicants must show evidence of general suitability and adaptability and must meet the special criteria of the Commission/post.

## **10 FAM 446.2-2 Distinctions Between Student and Research Scholar Applicants**

*(TL:PEC-01; 10-01-1999)*

a. In general, applicants who hold the Ph.D. degree or equivalent, or, lacking that, have a recognized professional standing in their academic discipline, are considered eligible for research scholar grants. However, the purpose for which an applicant wishes to visit the United States may determine the category in which he or she should apply. A person who wishes to work for an academic degree or to enroll for credit in an institution in the United States should ordinarily apply in the student program.

b. Commissions/posts should be aware that the holding of a Ph.D. does not mean arbitrarily that the candidate should be considered a research scholar. If a Commission/post has difficulty deciding on a borderline case the matter should be referred to the cooperating agency for an opinion.

**Note:** Many universities do not require a tuition fee from research scholars, but an advanced graduate student may be levied the usual tuition charge, unless a remission is granted.

## **10 FAM 446.2-3 Scholastic Achievement**

*(TL:PEC-01; 10-01-1999)*

In the selection process the committee acting for the Commission/post should emphasize professional and scholastic achievement, competence in teaching, and academic or other experience which qualifies the applicant to undertake the proposed project.

## **10 FAM 446.2-4 Language Proficiency**

*(TL:PEC-01; 10-01-1999)*

a. Applicants must demonstrate sufficient proficiency in the English language to permit them to undertake the proposed project, and to communicate adequately for normal purposes.

b. The BFS policy on language competence requires that screening should be rigorous but not emphasized to the detriment of other selection criteria.

## **10 FAM 446.2-5 Acceptance by Accredited U.S. Institution**

*(TL:PEC-01; 10-01-1999)*

a. Applicants for Fulbright grants, fully-funded or partial, must meet the same standards for academic achievement, language competence, and all other factors considered for selection. In addition, Commission/post selection committees should examine carefully the proposals of applicants who are arranging their own affiliations with U.S. institutions to ascertain, to the extent possible, that the host institution is fully accredited by appropriate professional organizations.

b. The cooperating agency responsible for the scholars for which it arranges placement, as well as for those who arrange their own affiliation, will verify the accreditation status of the institution involved.

## **10 FAM 446.2-6 Academic Projects Broadly Defined**

*(TL:PEC-01; 10-01-1999)*

All projects that will contribute to the objectives of the program and otherwise conform to the provisions of the Fulbright-Hays Act, as amended, are considered within the scope of the program. A broad interpretation of academic activities and fields shall be adhered to so that persons not engaged in strictly academic pursuits may participate if they propose a worthy project.

## **10 FAM 446.2-7 Evaluation of Projects**

*(TL:PEC-01; 10-01-1999)*

Proposed projects will be reviewed by the cooperating agency, ECA/A/E, and the BFS in terms of the immediate and subsequent use of the knowledge acquired. The BFS will base its selection of applicants on an evaluation of the projects proposed, including the following criteria: (a) the feasibility of the proposed project and its usefulness and potential contribution to the objectives of the program; and (b) other factors that will include the needs, interest, and benefit to the United States, and the opportunities and resources existing in the United States

## **10 FAM 446.2-8 Translation Projects**

*(TL:PEC-01; 10-01-1999)*

Grants may be awarded to qualified applicants with suitable placement in the United States to undertake professional projects involving the translation of documents, books, and publications. However, the printing and

publication of such translations shall not be financed from funds under the Fulbright-Hays Act.

### **10 FAM 446.2-9 Placement-Civil Rights Act**

*(TL:PEC-01; 10-01-1999)*

No foreign grantee under the academic exchange program authorized by the Fulbright-Hays Act who is sponsored financially, wholly or in part, by a U.S. Government agency shall be placed in a institution which is not complying with Title VI of the Civil Rights Act of 1964.

### **10 FAM 446.2-10 Previous Experience Abroad**

*(TL:PEC-01; 10-01-1999)*

In general, preference shall be given to applicants who have not had opportunities for lecturing or research in the United States.

### **10 FAM 446.3 Screening**

*(TL:PEC-01; 10-01-1999)*

The Commission/post screens all applicants on the basis of merit and in accordance with the criteria contained in the BFS-PS 720-727. Screening includes the ranking of candidates as principals and alternates, and also the placing of candidates in priority order in each category. Generally screening also utilizes an interview of the applicant as a means of judging personal qualifications, and for evaluating competence in oral English. The interview session may be conducted as a peer review with emphasis on justification of the project and its relevance to the objectives of the program.

### **10 FAM 446.4 Nomination**

*(TL:PEC-01; 10-01-1999)*

a. Following the screening process the Commission/post prepares a nominating memorandum. For each panel, there is included a biographic summary on each candidate, five copies of the application form, and, as appropriate, the certification of a remunerative appointment, and/or verification of institutional affiliation and the availability of any other forms of financial aid.

b. In the Nomination Memorandum, the Commission/post should indicate if appointments or funds from sources other than Fulbright-Hays duplicate or supplement benefits sought in the grant application. The Memorandum

dum should also provide any additional comments or suggestions that would facilitate placement and subsequent supervisory action.

c. The original Nominating Memorandum with attachments is sent to the geographic branch of ECA/A/E with two copies for the BFS, and a duplicate set for the cooperating agency, if a copy has not been sent directly, either by air mail or by diplomatic pouch via ECA/A/E. The current (1999) deadline for receipt of nominations is January 15 for grants to be activated the following fall. However, if the application dossiers can be sent earlier some advantages may be realized in the processing.

## **10 FAM 446.5 Affiliation with U.S. Institution**

### **10 FAM 446.5-1 Affiliation Arranged by Scholar**

*(TL:PEC-01; 10-01-1999)*

a. Many foreign scholars having professional contacts in the United States undertake to arrange their own affiliation with the institution they prefer for their project of lecturing or research. Some are successful and obtain a commitment from the chosen institution to accept them for whatever period of time is mutually agreed upon. Others, while not obtaining a firm acceptance, are able to establish a contact that may become the basis for an eventual affiliation.

b. In developed countries, scholars generally arrange their own affiliation and receive confirmation either directly or through the Commission, but there may be occasional exceptions in which the cooperating agency is asked to assist. Although the cooperating agency may have no involvement in the selection or placement of applicants for the above countries it does retain the responsibility for maintaining records and for supervision. For other countries the cooperating agency has an active role in securing placement for the applicants, and either initiates or assists in securing a satisfactory affiliation for the foreign scholar.

### **10 FAM 446.5-2 Affiliation Arranged by Cooperating Agency**

*(TL:PEC-01; 10-01-1999)*

a. Occasionally foreign scholars indicate a preference for an institution about which they may have incomplete or inaccurate information. When foreign scholar applicants do not provide any reasons for their choice of institutions, the cooperating agency will contact the institution(s) to obtain advice on the suitability of the scholar's choice. The object of this procedure is not to contest the applicant's indicated choice arbitrarily, but possibly to suggest alternatives that may offer better chances for success.

b. In the process of arranging the affiliation of a foreign scholar, the cooperating agency sends to the prospective host institution a leaflet describing the Fulbright Program and the procedures for confirming the affiliation of the scholar and obtaining the final approval of the grant. Also, a Memorandum to Faculty Associates describes the role of the faculty associate and what is expected of this person when undertaking to host a Fulbright visiting scholar. This memorandum explains basic considerations such as obtaining office space and access to the library, and desirable activities which may help in the orientation of the scholar and his or her adjustment to the academic and cultural milieu.

c. In some cases, it may be necessary for the cooperating agency to request consideration from several institutions before obtaining an affiliation for an applicant. This is a time-consuming process and may take weeks before an affiliation can be confirmed. For this reason, among others, the submission of applications in advance of deadlines is highly desirable.

**Note:** Commissions/posts should not indicate to any applicant that affiliation with a particular institution is assured, nor that any specific benefits or support will be furnished by the host. In fact, some universities are finding it necessary to levy charges for services which hitherto have been furnished without cost to the scholar. To avoid disappointment and misunderstanding, scholars should be counseled to inquire, if possible, about expenses he or she will be expected to assume.

## **10 FAM 446.6 Selection of Grantee**

*(TL:PEC-01; 10-01-1999)*

a. After affiliation has been confirmed, the cooperating agency writes a Recommendation Memorandum addressed to Commissions/posts constituting the notification to the agencies abroad and to ECA/A/E that the cooperating agency has processed the scholar's application, has arranged an affiliation, and is writing or recommending a grant. At the same time, the cooperating agency advises the appropriate Commission/post the status of the selection process. If BFS approval has been obtained, the Commission, if there is one, may proceed with the issuing of the grant (usually for travel); if BFS approval has not been granted, the Commission may not issue the award until it receives notification that BFS approval has been obtained.

b. For some Commission countries the cooperating agency prepares the grant documents and forwards them to the grantee.

c. If the applicant is from a non-Commission country, the cooperating agency will prepare the grant and forward the documents to the Post with instructions to process the award after receiving notification that the BFS has given approval.

## **10 FAM 447 FULBRIGHT-HAYS GRANTS**

### **10 FAM 447.1 Grants to Foreign Scholars**

*(TL:PEC-01; 10-01-1999)*

a. In meeting the qualification standards of the Fulbright Program, all applicants, category by category, must present credentials of superior merit. Those receiving awards as visiting Foreign Scholars are chosen on the basis of exemplary personal qualifications, recognized standards of professional and academic excellence, and a high degree of interest in, and dedication to, the promotion of mutual understanding through academic and cultural exchange. For these reasons, the prestige of a Fulbright grant is the same whether the financial support is equal or not.

b. Individually grants differ only in the amount and form of financial support provided to the grantee. For administrative purposes only, grants are categorized as fully-funded awards, meaning that the entire financial support is derived from Fulbright-Hays funds, and partial awards, which utilize Fulbright-Hays resources as complementary funding to activate individual private, governmental, or other grants, or a combination of awards from different sources to make a total sum sufficient to maintain the visiting scholar for the duration of his or her project.

c. If other organizations, institutions, or governmental agencies, foreign or U.S., are participating in the support of the foreign scholar, it is necessary for all such support to be verified before a Fulbright-Hays award of any amount can be granted.

### **10 FAM 447.2 Grant Duration**

#### **10 FAM 447.2-1 Full Time Nature of Grants**

*(TL:PEC-01; 10-01-1999)*

a. Grants to visiting foreign lecturers and researchers are made for full-time teaching and/or research. Because of the special nature of the relationship the host institution may modify professional duties to permit some time for non-curricular activities that support the exchange program objectives and promote increased personal and professional understanding.

b. It is not the objective of the program to provide opportunities for remunerative employment, and any requests from the grantee to engage in such activities should be discouraged.



## **10 FAM 447.2-2 Short-Term Grants**

*(TL:PEC-01; 10-01-1999)*

a. Although a full academic year is considered the standard for an exchange grant for foreign scholars, a grant for one semester is not uncommon, and under certain conditions, a shorter period may be considered. In some geographic areas, because of unusual academic conditions and arrangements, short grants are preferred, and awards of three to six months are common practice.

b. An application for a short-term grant will not be given priority over a full-time grant. If planned in the country program, the Commission/post may provide for short-term grants (less than 3 months) to meet certain clearly defined objectives. The BFS views these very short-term grants as exceptional and requires a detailed justification to be submitted. The statement must explain what purpose will be served by the grant, and why it is important to the Country Plan/Proposal objectives.

c. Grants to lecturers may be less than one semester or one year if the candidate's availability is limited because of differences in school-year schedules, or for other reasons. Grants may be given for teaching in established and recognized summer sessions, or for the purpose of teaching or consultation, or for assignment to projects involving higher education in the United States.

d. The same general stipulations apply to research scholars who wish to receive a grant for less than the usual semester or one year.

## **10 FAM 447.3 Grant Provisions**

*(TL:PEC-01; 10-01-1999)*

The following items are normally included in a fully-funded grant to a foreign lecturer or research scholar.

(1) Maintenance, for the grantee only; a dependent allowance may be provided for accompanying dependents who spend at least 80 percent of the grant period with the grantee in the United States.

(2) International Travel, for the grantee only; exception: a grantee who performs his professional duties for one full academic year may receive travel funds for one dependent if the dependent spends at least 80 percent of the grant period in the United States.

(3) Professional allowance to cover travel to professional meetings, computer time or research costs, books and incidentals.

- (4) Health and Accident Insurance, dependents not included.

## **10 FAM 447.4 Grant Issuance**

### **10 FAM 447.4-1 Commission Countries**

(TL:PEC-01; 10-01-1999)

a. After a foreign scholar has been placed at a U.S. institution, either by the cooperating agency or the grantee personally, and BFS approval has been obtained, grants are issued. Commissions in developed countries often confirm the placement (usually arranged by the grantee), issue the grant, and carry out the administration of it.

b. Other Commissions obtain the confirmation of placement from the cooperating agency and proceed to issue the grant. They do not, however, administer the grant while the scholar is in the United States.

c. As noted in 236.6, the cooperating agency prepares the grants for a majority of scholars and administers their programs.

### **10 FAM 447.4-2 Non-Commission Countries**

(TL:PEC-01; 10-01-1999)

a. For all non-Commission countries, the cooperating agency issues the grant and disburses the funds from its offices in Washington. The grant packet includes the following:

(1) A grant letter either from ECA/A/E or the cooperating agency advising the grantee of the award and extending congratulations.

(2) Three copies of the grant documents, including a form listing the items covered and the funding to be provided. Also a statement entitled "Terms and Conditions of Award," explaining in detail the privileges and responsibilities entailed in being a Fulbright Scholar, is included for the grantee's information and acceptance.

(3) A copy of a *Guide for Visiting Fulbright Scholars* for orientation purposes.

(4) A notice of residential address. This form is to be returned to the cooperating agency as soon as possible after permanent housing is obtained by the grantee.

(5) A registration form for the Occasional Lecturer Program and for inclusion in the *Directory of Visiting Fulbright Scholars and Occasional Lecturers*.

(6) Information on health and accident insurance to be provided by ECA/A/E and issued by the cooperating agency to the grantee. Also enclosed is information on the availability of this type of insurance which may be purchased by the grantee for any accompanying dependents.

b. The grant letter and document, referred to in items (1) and (2) above, include the following:

(1) The name of the faculty associate and his or her address.

(2) The name and address of the housing contact at the host institution.

(3) The length of the grant and the anticipated beginning date.

(4) The monthly grant rate, amount of professional allowance, and total grant amount.

(5) Any other information on the affiliation or program, such as a suggested arrival date, additional housing information, and suggested professional meetings.

c. After the grant packet has been received and the grantee has accepted the award, Commissions/posts should review the materials included in the packet with the grantee pointing out the important steps to be taken by the scholar prior to his or her departure from the home country, after arrival in the United States, and during the grant period.

## **10 FAM 447.5 Visa Requirements**

*(TL:PEC-01; 10-01-1999)*

a. Commissions/posts are responsible for issuing a Form IAP-66 form will enable the grantee to obtain a J-1 visa under Program G-1-5. All visiting foreign scholars must be in the United States under this visa and program if they are to receive funds authorized by the Mutual Educational and Cultural Exchange Act of 1961, the Fulbright-Hays Act.

b. Any accompanying dependents must also have a Form IAP-66, and will be given a J-2 visa. Whenever possible, grantees and dependents should be given a multiple-entry visa in order to permit the grantee and/or dependents to visit neighboring countries, and return, or to arrive in the United States separately.

c. Commissions/posts send to the cooperating agency a copy of the Form IAP-66 issued to each grantee and dependents and any attachments. CA needs this copy if the grantee's stay is extended, to replace a lost form, or when a dependent enters the United States separately from the grantee.

d. After the grantee and any dependents have entered the United States, the cooperating agency confirms that all are holding a J-1 or J-2 visa, as appropriate, and are included under Program G-1-5. If any are not under this visa and program, the cooperating agency must issue another IAP-66 and arrange for the visitor to be transferred to the proper category.

## **10 FAM 447.6 Arrival in United States.**

*(TL:PEC-01; 10-01-1999)*

a. Prior to the scholar's departure for the United States, the cooperating agency contacts the U.S. faculty associate and requests that correspondence be initiated between the two to inform the scholar of travel arrangements from the nearest airport to the institution, to meet him/her if possible, and to advise about arrangements for temporary housing.

b. Commissions/posts are responsible for notifying the cooperating agency of the scholar's travel plans at least two to three weeks before the expected arrival date, and earlier, if possible. This information is very important inasmuch as the first stipend check must be prepared and sent to the faculty associate in time for delivery to the grantee upon arrival. If for any reason the travel plans are changed, the cooperating agency is to be notified immediately.

c. After arrival at the host institution, the scholar must complete and send to the cooperating agency the Arrival Notification Form (included in the grant packet). The cooperating agency needs the information on this form to:

(1) Issue documents for basic health and accident insurance to all scholars.

(2) Issue the first stipend check, if it has not already been sent.

(3) Confirm that the scholar has entered the United States on a J-1 visa and is sponsored under Exchange Visitor Program G-1-5.

(4) Confirm that the scholar has a return air ticket or note that a ticket will have to be issued for the return travel.

(5) Obtain the temporary institutional or other address to which correspondence may be sent.

(6) Obtain the scholar's residential address and telephone number if permanent housing has been arranged.

(7) Confirm the names, relationships, and immigration status of any persons accompanying the scholar, and, if they will enter the United States separately, the expected date of arrival.

(8) Complete information needed for permanent Fulbright data records.

## **10 FAM 447.7 Enrichment Programs**

### **10 FAM 447.7-1 General Statement**

*(TL:PEC-01; 10-01-1999)*

To add depth to the foreign scholar's academic and cultural experience in the United States and to enhance his or her contribution to mutual understanding in the local community, some special programs have been developed.

### **10 FAM 447.7-2 Occasional Lecturer Program**

*(TL:PEC-01; 10-01-1999)*

a. In the grant packet of materials each foreign scholar receives before departing his or her home country for the United States, there is included an Occasional Lecturer Registration Form, with instructions for filling it out, if the scholar wishes to participate in the Occasional Lecturer Program while in the United States. The form asks the scholar to list topics which he or she would be prepared to discuss in lectures to university or general audiences. In order for this information to be circulated to U.S. colleges, universities, and other institutions, it must be received by the cooperating agency no later than August 1 to be included in the Directory of Visiting Fulbright Scholars and Occasional Lecturers, which is distributed at the beginning of the new academic year.

b. U.S. institutions are encouraged to extend an invitation to a visiting scholar of choice (more than one may be invited during the year), and if the scholar is agreeable, to make the necessary arrangements. The institution must furnish food, lodging, and local transportation. Sometimes a nominal honorarium is provided.

c. Upon receiving an invitation, the scholar should contact the cooperating agency for approval of the planned visit as an Occasional Lecturer; may also request funding for round-trip travel costs.

## 10 FAM 447.7-3 Programs for Fulbright Visiting Scholars

(TL:PEC-01; 10-01-1999)

a. **Metropolitan Area Programs.** With funds provided by ECA/A/E, and under the administration of the cooperating agency, coordinators in six metropolitan areas organize special cultural, educational and social programs and activities for Fulbright scholars. Currently (1999), programs are in the following six cities:

- (1) Boston;
- (2) New York;
- (3) Washington, D.C.;
- (4) Los Angeles;
- (5) San Francisco; and
- (6) Chicago.

Each coordinator is supplied by the cooperating agency with a list of names of the scholars in the area, and is kept informed of any additions which may occur during the year. The scholars in the area are informed of the programs scheduled and an invitation is extended. The programs provide an opportunity for the scholar to experience America and meet U.S. citizens away from campus and to meet other Fulbright scholars. Programs usually combine substance with socializing and thereby reinforce program objectives.

b. **Washington Conference.** In the spring of each year a three to four day conference of is organized for visiting Fulbright scholars. The subject to be discussed changes from year to year, but is usually a topic of current interest. In addition to the formal program, sight-seeing, cultural and social events, and other activities are planned. Program costs and living expenses are covered by ECA/A/E. Scholars must bear the costs of travel to and from Washington.

**Note:** As with all programs, the continuation of the above is contingent on the availability of funds.

## **10 FAM 447.8 Health and Accident Insurance Coverage**

*(TL:PEC-01; 10-01-1999)*

a. All grantees under the Fulbright Program are covered by health and accident insurance provided by the Bureau. The current (1999) limit of this coverage is \$50,000 per illness or injury. Upon receipt of the signed grant document, CA issues an insurance identity card along with explanatory materials and instructions.

b. The health and accident insurance for the grantee does not provide for any accompanying dependents. Grantees are required to purchase supplementary insurance for dependents.

c. Some U.S. universities may require that health and accident coverage be procured through their health services. In such cases, the institutions may be willing to grant a waiver of this requirement for participants in the Fulbright program. See also 10 FAM 020.

## **10 FAM 447.9 U.S. Income Tax Requirements**

*(TL:PEC-01; 10-01-1999)*

a. The Internal Revenue Service (IRS) of the U.S. requires the cooperating agencies to withhold U.S. Income Tax from all grants paid to visiting scholars but with some variation in the amounts withheld, depending on whether the scholar is a lecturer or researcher and with the exception of scholars from countries with which the U.S. has a tax treaty or for those covered by special tax rulings on foreign support if the scholar qualifies for an exemption. Withholding is applied to the monthly stipend and the professional allowance.

b. Because the income tax procedures are so complex, and in most cases require individual treatment, it is not possible in this manual to cover the subject exhaustively. A statement of the procedures to be followed is given to every scholar grantee. It is advisable for scholars to obtain information from their host institutions, from the IRS, the cooperating agency, and/or any persons specially qualified to advise the visiting foreign academician, if such are available.

# **10 FAM 448 SUMMARY OF ORGANIZATIONAL RESPONSIBILITIES**

## **10 FAM 448.1 Bureau of Education and Cultural Affairs**

*(TL:PEC-01; 10-01-1999)*

The responsibilities of the Bureau of Education and Cultural Affairs (ECA) and its Office of Academic Exchange Programs (ECA/A/E) include but are not limited to the following:

(1) Oversee and execute the administrative responsibilities of the worldwide Fulbright Program, which include the determination of objectives and the planning of programs to support them.

(2) Determine budget allocations for the programs and activities, and provide guidance and supervision for the effective application of resources.

(3) Consult with the BFS on all matters of policy and the maintaining of standards.

(4) In conjunction and consultation with the cooperating agency, promote and administer the program for Visiting Foreign Scholars, both lecturers and research scholars.

(5) Review and transmit communications between Commissions/posts and the cooperating agency.

(6) Review nominations and secure approval by the BFS.

(7) Participate in the planning of orientations for visiting foreign scholars and assist in the programs as necessary.

(8) Review any evaluation reports received on grantees from the U.S. host institution and from the grantee to the cooperating agency.

**Note:** Grantee reports are sent to the cooperating agency and a copy is forwarded to ECA/A/E and the Commission/post. The reports are read by ECA/A/E and analyzed for information which may suggest adjustments to the program based on the grantee's observations and comments. The Commissions/posts may also use the document for evaluation of their program, and the need for any modifications.



## **10 FAM 448.2 Cooperating Agency Responsibilities**

*(TL:PEC-01; 10-01-1999)*

The responsibilities of the cooperating agency are summarized by, but not limited to, the following:

(1) Assist Commissions/posts in the process of selecting foreign visiting scholars by developing and distributing application materials which meet the requirements of U.S. institutions.

(2) Receive and review applications recommended as the result of Commission/post selection procedures.

(3) Conduct academic review for certain Post countries and special competitions.

(4) Follow-up for placement any indications of preferred U.S. institutions for affiliation of the foreign scholar.

(5) From background of applicant develop list of institutions most likely to respond favorably to request for affiliation.

(6) Arrange placement for recommended applicant.

(7) Notify Commission/post of successful placement of applicant.

(8) Pass applications and placement information to ECA/A/E for presentation to BFS for approval.

(9) Advise Commissions/posts of issuance of grant, if appropriate.

(10) Prepare selection letter and grant packet to forward to Commission/post for delivery to grantee.

(11) Advise U.S. host institution of grantee's acceptance or refusal.

(12) Assuming grantee acceptance, prepare administrative procedures for travel of grantee, arrival at host institution, payment of stipend and other financial support.

(13) Issue health and accident insurance for grantee.

(14) Monitor grantee's reception, acceptance, adjustment and other personal and professional factors.

(15) Receive final report of grantee and evaluation report from institution, copies of which will be sent to ECA/A/E and to the Commission/post.

(16) Confirm correct immigration status of scholar, and reissue Form IAP-66, if necessary.

(17) Review requests for extensions, communicate with ECA/A/E, and Commission/post, as necessary, to secure decision.

(18) Provide materials on the United States for orientation of grantee; program orientation sessions as authorized by ECA/A/E.

## **10 FAM 448.3 Responsibilities of Commissions/posts**

*(TL:PEC-01; 10-01-1999)*

Responsibilities of commissions/posts are as follows:

- (1) Announce availability of grants and receive applications.
- (2) Screen applications, interview and select candidates.
- (3) Prepare panel of nominees with complete documentation and forward to the cooperating agency well in advance of deadline date.
- (4) Facilitate communications between the cooperating agency and applicant, and counsel applicant as necessary.
- (5) Pass documents to grantee, assist in completing any required forms, and transmit any information requested by the cooperating agency.
- (6) Provide pre-departure orientation to grantee, and, if possible, to any accompanying dependents.
- (7) If Commission is issuing grant, prepare and execute documents, and initiate disbursement of funds. Also arrange travel and issue ticket.
- (8) To the extent possible, maintain contact with grantee while in the United States and act on any requests properly the responsibility of the Commission.
- (9) Discuss grant activities upon return. Include on list of Fulbright alumni, and seek to maintain interest and participation in Program.

## **10 FAM 448.4 Responsibilities of Grantee**

### **10 FAM 448.4-1 Non-Academic Requirements**

*(TL:PEC-01; 10-01-1999)*

(1) In collaboration with Commission/post, plan and activate travel to arrive in U.S. at agreed-upon time.

(2) Obtain J-1 visa for Program G-1-5 for himself/herself and J-2 visa for any accompanying dependents.

(3) Send to the cooperating agency immediately upon arrival at host institution the Arrival Notification Form provided in the grant packet.

(4) Verify coverage and, if necessary, procure health and accident insurance for any dependents.

(5) Apply for Social Security number, and file any required income tax forms.

(6) Maintain contact with CA on all matters related to the administration of the grant, particularly if any changes are contemplated.

### **10 FAM 448.4-2 Academic Requirements**

*(TL:PEC-01; 10-01-1999)*

(1) Discharge professional commitments for which grant was issued.

(2) Inform the cooperating agency immediately of any problems.

(3) If an extension is requested, the cooperating agency should be informed at least eight weeks before the extension is to begin. The grantee is responsible for submitting the justification for the grant extension.

(4) Comply with reporting requirements.

## **10 FAM 448.5 Grant Extensions**

*(TL:PEC-01; 10-01-1999)*

a. Upon application of the grantee, extension of grant requests will be reviewed. Total grant period should not exceed 12 months, including the extension. The extension can be approved by the cooperating agency with the written approval of the appropriate ECA/A/E officer for the first year.

**Note:** Some Commissions/posts wish to be advised of the request, and to have the opportunity to accept or reject the proposition.

b. In all cases the following conditions apply:

(1) The grantee's performance has been satisfactory.

(2) The additional period will enable the grantee to complete research already in progress, or contribute to professional or teaching experience.

(3) The grantee has an affiliation with an approved institution and sufficient resources for the additional period of time.

(4) The cooperating agency informs the appropriate Commission/post and ECA/A/E and receives concurrence.

(5) There are sufficient funds available.

b. In some highly exceptional cases a grant period beyond 12 months may be considered. if all of the above stipulations are met, plus a requirement that the extension will benefit the grantee's home country where comparable training is not available. In this case the proposal must include Commission/post concurrence and must be submitted to the BFS for final approval.

## **10 FAM 448.6 Second Grants**

*(TL:PEC-01; 10-01-1999)*

A national of a participating country who has previously received a grant under the program is ineligible to apply for a second grant within three years from the date of termination of the original grant unless the applicant can satisfy all of the following conditions:

(1) The applicant has satisfactorily completed the previous grant.

(2) The applicant's proposed educational program can be carried out only in the United States.

(3) The receiving of a second grant would not deprive other well-qualified applicants of an initial opportunity to visit the United States

(4) The proposed program in the United States is carried out wherever possible at an educational institution other than the one connected with the previous grant.

(5) The applicant is otherwise eligible for a grant in the category in which he or she is applying.

## **10 FAM 448.7 Revocation of Grants**

*(TL:PEC-01; 10-01-1999)*

a. The BFS and ECA/A/E reserve the right to revoke or terminate a grant and to withhold any remaining allowance and payment of transportation home.

b. Grounds for revocation may include, but are not limited to:

(1) Violations of the laws of the United States or of any participating country;

(2) Misconduct;

(3) Failure to observe satisfactory academic or professional standards;

(4) Physical or mental incapacitation;

(5) Acts likely to give offense to the host country; and

(6) Engaging in political or unauthorized income-producing activities, or other activities which in the discretion of the BFS and ECA/A/E are inconsistent with the purposes and best interests of the program.

c. If the host institution and the cooperating agency desire to recommend revocation of a grant they transmit the facts to the BFS through ECA/A/E with specific recommendations based on the circumstances. Whenever feasible, the host institution and/or the cooperating agency should attempt to obtain, for the information of the Board, a statement from the grantee of his or her position on the case. If the grantee chooses not to state a position, the Board should be so informed. ECA/A/E and the BFS will take the appropriate action; where deemed desirable, the Commission/post will be informed before the final revocation.

## **10 FAM 449 RIGHTS AND RESPONSIBILITIES OF GRANTEE**

*(TL:PEC-01; 10-01-1999)*

“As provided in United States Law, all recipients of grants under the Fulbright Program will have full academic and artistic freedom, including freedom to write, publish, and create, and no award granted by the Board may be revoked or diminished on account of the political views expressed by the recipient or on account of any scholarly or artistic activity that would be subject to the protections of academic and artistic freedom normally ob-

served in higher education in the United States. It is the policy of the Board to ensure that the academic and artistic freedoms of all persons receiving grants are protected.

"Grantees are responsible for observing satisfactory academic and professional standards and for maintaining a standard of conduct and integrity which is in keeping with the spirit and intent of the Fulbright program and which will contribute positively to the promotion of mutual understanding between the people of the United States and those of other nations. Grant recipients are expected to obey the laws of the United States.

"A person accepting a grant is not by virtue thereof an official or employee of the J. William Foreign Scholarship Board, the U.S. Department of State, or other agency of the Government of the United States of America, or of an agency of the government of the partner country."